

Internal Control Roundtable

Meeting Minutes

Meeting Date: December 21, 2017

Scribe: Mike Thone, MMB Internal Control and Accountability (ICA).

Host and meeting location: Jamie Majerus, Audit Manager for the Minnesota Judicial branch of government hosted the meeting at the Minnesota Judicial Center.

Presenters: 1) Tim Quicksell and Katie Engdahl from MMB Enterprise Human Resources (EHR); and, 2) Angelina Barnes, Director of the MMB ICA Unit.

Present at the Meeting:

Mike Thone, Jake Rossow, and Angelina Barnes (ICA), Jamie Majerus (Judicial), Vicky Baukol and Mark Pochardt (DOC), Morgan Grelson and Marita Bliven (Bd. of Animal Health), Paul Mathe and Brenda DaBruzzi (DPS), Candice Harding, Jennifer Xiong, and Stephanie Wortham (MnDOT), Yia Her, Becky Hierlinger, Sandy Ludwig and Carmen Patton-Minder (MDH), Robert Helgeson (OHE), Molly Nystel (WCCA), Leslie Nagel (TRA), Ken Vandermeer (DHS), Iryna Shafir (SBI), Jennifer Nasifoglu (OAG), Will Thompson (MHFA), Courtney Quinn (MDVA), Eric Athman (DMA), Katrina Jones (MDE), Andrea Tommerdahl, Lindsay Rivard, and Josh Botnen (DOR), Kevin Hoese (Racing Com.), Nick Mokaya (PCA), Marianne Bouska (IRRR), Tim Quicksell and Katie Engdahl (MMB), Barry Fick (MnHEFA).

Welcome and Introductions:

Mike Thone welcomed the group. Dawn Torgerson, Deputy State Court Administrator, provided a second welcome on behalf of the Minnesota Judicial Branch's leadership team. She also provided brief remarks about the evolution and future plans for the Judicial Branch's internal control program.

Main Agenda:

Tim Quicksell and Katie Engdahl, MMB Enterprise Human Resources (EHR), gave a presentation about their HR audit function/program. ICA emailed the presentation slides to all members in advance of the meeting.

Open Forum Topic:

Angelina Barnes continued the review and discussion of PROPOSED REVISIONS to *MMB Statewide Operating Procedure 0102-01.02, Risk Assessment*, started at the November 9, 2017 meeting. Key points include:

- The ICA Unit will be meeting with the senior leadership of agencies to present and discuss risk assessment for 2018.
- A comparison of agency risk assessment with existing requirements shows various levels of program maturity across the state.
- Core risk assessment requirements are the same requirements that agencies were expected to execute for many years.
- MMB is updating internal control (risk assessment) requirements for clarity and function.
- The ICA Unit conducted a gap analysis between the existing risk assessment procedure and the proposed risk assessment procedure, and will provide additional resources for comparison.
- Risk assessment plan submission requirements for 2018 will be different and likely represent first steps of building the agency-level risk assessment foundation.
- The ICA Unit will provide templates, resources, training and support to all agencies.

Next Meeting:

Thursday, February 1, 2018, 9 – 11 a.m.

Courtney Quinn, Internal Controls and Audit Manager for the Department of Veterans Affairs is hosting the meeting at the Veteran's Service Building, fifth floor conference room. The Veteran's Service Building is located at 20 West 12th Street, St. Paul MN 55155.

Roundtable members should enter the building through the central walkway west-side doors, and take the elevator to the fifth floor. There is no check-in or other security protocols to follow but please note the doors are locked prior to 8:00 a.m.

Meeting Agenda:

- The MMB ICA Unit will present information pertaining to the 2018 Annual Internal Control System certification, including continued discussion about revisions to the *MMB Statewide Operating Procedure 0102-01.02, Risk Assessment*.
- Open Forum – ICA will dedicate the entire meeting, including the time usually reserved for Open Forum, to the main agenda topic. If members have any specific topics outside of annual certification and risk assessment they would like to bring up, please contact Mike Thone or Angelina Barnes in advance of the meeting to discuss adding their topic(s) to the meeting agenda.